

MONTH END ACTIVITY REPORT
Bureau of Securities
February 2015

Securities Registrations

Filing/Security Type	Paper	Electronic	Total
Additional	122	153	275
Oversales	3	36	39
Renewal Filings	521	1355	1876
New Notice Filings	180	36	216
Common Stock	1	0	1
Limited Partnerships	0	0	0
Preferred Stock	0	0	0
REIT	5	0	5
BDC	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	0	0	0

Broker-Dealers and Broker-Dealer Agents

Broker-Dealers

Activity	FINRA	Non-FINRA	Total
Approved	7	0	7
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	5	0	5
Gain (+) /Loss (-) BD's between Jan & Feb 2015	2	0	2
Total BD's Registered as of Feb. 28, 2015	1,332	30	1,362

Broker-Dealer Agents

Activity	FINRA	Non-FINRA	Total
Approved (Includes Automatic, Manual, Temp. Queues)	1,517	0	1,517
Denied	0	0	0
Terminations	864	0	864
Gain (+) /Loss (-) Agents between Jan & Feb 2015	653	0	653
Total BDA's Registered as of Feb. 28, 2015	95,281	31	95,312

MONTH END ACTIVITY REPORT
Bureau of Securities
February 2015

Investment Advisers and Representatives

Investment Advisers

Activity	Registered	Notice Filed	Total
Approved	2	12	14
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	1	2
Denied	0	0	0
Gain (+) /Loss (-) IA's between Jan & Feb 2015	1	11	12
Total IA's Registered as of Feb. 28, 2015	103	1,207	1,310

Investment Adviser Representatives

Activity	Registered	Notice Filed	Total
Approved	2	47	49
Denied	0	0	0
Terminated	0	32	32
Gain (+) /Loss (-) IAR's between Jan & Feb 2015	2	15	17
Total IAR's Registered as of Feb. 28, 2015	169	3,626	3,795

Exemptions

Exemption Type	Number
8-1108.02(2)	22
8-1108.02(3)	0
8-1111(16)	0
8-1110(5)(b)	0
8-1111(20)	0
8-1110(8)	0
8-1111(9)	10
8-1111(11)(a)	0
8-1111(11)(b)	0
8-1111(14)	0
8-1111(15)	1
8-1111(17)	0
Total Exemptions as of Feb. 28, 2015	33